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Sheet 1 of 13

FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET NO.: ASX-015C4

APPLICANTS: Smith et al.

SERIAL NO.: Not yet assigned.

FILING DATE: Herewith

GROUP: Not yet assigned.

COPY

U.S. PATENT DOCUMENTS

EXAM INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>nm</i>	AA	5,290,382	03/01/94	Zarowin et al.			
	AB	3,343,022	09/19/67	Eckert			
	AC	4,431,901	02/14/84	Hull			
	AD	4,878,149	10/31/89	Stiehl et al.			
	AE	5,346,578	09/13/94	Benzing et al.			
	AF	5,401,350	03/28/95	Patrick et al.			
	AG	5,405,480	04/11/95	Benzing et al.			
	AH	5,430,355	07/04/95	Paranjpe			
	AI	5,468,296	11/21/95	Patrick et al.			
	AJ	5,479,072	12/26/95	Dakin et al.			
	AK	5,506,507	04/09/96	Schwierzke et al.			
	AL	5,514,246	05/07/96	Blalock			
	AM	3,500,118	03/10/70	Anderson			
	AN	3,663,361	05/16/72	Yoshikawa			
	AO	3,987,334	10/19/76	Anderson			
	AP	4,088,926	05/09/78	Fletcher et al.			
	AQ	4,180,763	12/25/79	Anderson			
	AR	4,252,609	02/24/81	Kerst et al.			
	AS	4,626,400	12/02/86	Jassby et al.			
	AT	4,689,192	08/25/87	Nagata			
	AU	5,254,830	10/19/93	Zarowin et al.			
	AV	5,336,355	08/09/94	Zarowin et al.			
	AW	5,556,549	09/17/96	Patrick et al.			
	AX	5,630,880	05/20/97	Eastlund			
<i>v</i>	AY	H554	12/06/88	Dawson et al.			
<i>W</i>	AZ	4,431,898	02/14/84	Reinberg et al.			
EXAMINER <i>Pachner</i>				DATE CONSIDERED <i>7/10/06</i>			

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EXAM INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>nr</i>	A1	H627	04/04/89	Peng			
<i>1</i>	A2	Des. 384,173	09/23/97	Godyak et al.			
	A3	4,049,940	09/20/97	Moisan et al.			
	A4	4,065,369	12/27/77	Ogawa et al.			
	A5	4,285,800	08/25/81	Welty			
	A6	4,324,611	04/13/82	Vogel et al.			
	A7	4,350,578	09/21/82	Frieser et al.			
	A8	4,368,092	01/11/83	Steinberg et al.			
	A9	4,461,954	07/24/84	Inoue			
	A10	4,631,105	12/23/86	Carroll et al.			
	A11	4,668,336	05/26/87	Shimkunas			
	A12	4,668,366	05/26/87	Zarowin			
	A13	4,793,975	12/27/88	Drage			
	A14	4,810,933	03/07/89	Moisan et al.			
	A15	4,853,250	08/01/89	Boulos et al.			
	A16	4,859,908	08/22/89	Yoshida et al.			
	A17	4,897,282	01/30/90	Kniseley et al.			
	A18	4,906,898	03/06/90	Moisan			
	A19	4,948,458	08/14/90	Ogle			
	A20	5,000,771	03/19/91	Fleming, Jr. et al.			
	A21	5,008,593	04/16/91	Schlie et al.			
	A22	5,016,332	05/21/91	Reichelderfer, deceased et al.			
	A23	5,099,100	03/24/92	Bersin et al.			
	A24	5,144,196	09/01/92	Gegenwart et al.			
<i>v</i>	A25	5,180,150	01/19/93	Prusak et al.			
<i>hr</i>	A26	5,198,718	03/30/93	Davis et al.			
EXAMINER <i>Pas den</i>				DATE CONSIDERED <i>7/10/01</i>			

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U.S. PATENT DOCUMENTS							
EXAM INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>M</i>	A27	5,206,516	04/27/93	Keller et al.			
<i>A</i>	A28	5,280,154	01/18/94	Cuomo et al.			
	A29	5,352,249	10/04/94	Vollaro			
	A30	5,353,314	10/04/94	Schaffer			
	A31	5,364,496	11/15/94	Bollinger et al.			
	A32	5,365,147	11/15/94	Shinohara et al.			
	A33	5,372,674	12/13/94	Steinberg			
	A34	5,394,061	02/28/95	Fujii			
	A35	5,397,962	03/14/95	Moslehi			
	A36	5,419,803	05/30/95	Mumola			
	A37	5,468,955	11/21/95	Chen et al.			
	A38	5,473,291	12/05/95	Brounley			
	A39	5,515,167	05/07/96	Ledger et al.			
	A40	5,534,231	07/09/96	Savas			
	A41	5,563,709	10/08/96	Poultney			
	A42	5,565,036	10/15/96	Westendorp et al.			
	A43	5,567,255	10/22/96	Steinberg			
	A44	5,567,268	10/22/96	Kadomura			
	A45	5,568,015	10/22/96	Holber et al.			
	A46	5,585,766	12/17/96	Shel			
	A47	5,610,102	03/11/97	Gardopée et al.			
	A48	5,637,279	06/10/97	Besen et al.			
	A49	5,639,519	06/17/97	Patrick et al.			
	A50	5,647,913	07/15/97	Blalock			
<i>✓</i>	A51	5,662,819	09/02/97	Kadomura			
<i>M</i>	A52	5,681,393	10/28/97	Takagi			
EXAMINER <i>P. A. dnl</i>				DATE CONSIDERED <i>7/10/00</i>			

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U.S. PATENT DOCUMENTS							
EXAM INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>m</i>	A53	5,688,415	11/18/97	Bollinger et al.			
<i>n</i>	A54	5,700,297	12/23/97	Vollaro			
	A55	5,767,628	06/16/98	Keller et al.			
	A56	5,779,849	07/14/98	Blalock			
	A57	5,798,016	08/25/98	Oehrlein et al.			
	A58	5,789,867	08/04/98	Westendorp et al.			
	A59	5,811,022	09/22/98	Savas et al.			
	A60	5,814,154	09/29/98	Boitnott			
	A61	5,834,905	11/10/98	Godyak et al.			
	A62	5,874,012	02/23/99	Kanai et al.			
	A63	5,883,470	03/16/99	Hatakeyama et al.			
	A64	5,892,198	04/06/99	Barnes et al.			
	A65	5,914,278	06/22/99	Boitnott et al.			
	A66	5,932,180	08/03/99	Zhang et al.			
	A67	5,965,034	10/12/99	Vinogradov et al.			
	A68	6,063,233	05/16/00	Collins et al.			
	A69	5,364,600	11/15/94	Stiehl et al.			
	A70	5,472,561	12/05/95	Williams et al.			
	A71	5,406,177	04/11/95	Nerone			
	A72	4,748,383	05/31/88	Houkes			
	A73	4,786,352	11/22/88	Benzing			
	A74	4,859,399	08/22/89	Bussard			
	A75	5,030,889	07/09/91	El-Hamamsy et al.			
	A76	5,153,484	10/06/92	El-Hamamsy			
<i>k</i>	A77	5,200,595	04/06/93	Boulos et al.			
<i>h</i>	A78	5,414,238	05/09/95	Steigerwald et al.			
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FOREIGN PATENT DOCUMENTS									
EXAM INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
M	BA	WO90/10945	09/20/90	PCT				N	Y
	BB	SU957744 A1	02/10/96	SU				N	Y-Abstract
	BC	02260399	10/23/90	JP				Y	Y
	BD	5-166595	07/02/93	JP				N	Y-Abstract
	B1	61-139029	6/26/86	JP				N	Y-Abstract
	B2	5-144594	06/11/93	JP				N	Y-Abstract
V	B3	2-260399	10/23/90	JP				N	Y-Abstract
M	B4	2022917	11/15/94	RU			9/27/89	No	Yes (Translation)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
h	CA	S.V. Dresvin, Physics & Tech. of Low Temp. Plasmas, H. Eckert ed, pg. 234 (1977)							
R	CB	H.U. Eckert, "Analysis of Thermal Induction Plasmas between Coaxial Cylinders" <u>J. Appl. Phys.</u> 43(1):46-52 (1972)							
	CC	H.U. Eckert, "An Electrodeless Discharge at 60 Hz" <u>IEEE Trans. on Plasma Sci.</u> PS-2:308-309 (1974)							
	CD	H.U. Eckert, "The Induction Arc: A State-of-the-Art Review" <u>High Temp. Sci.</u> 6:99-134 (1974)							
	CE	H.U. Eckert, "Induction Plasmas at Low Frequencies" <u>AIAA Journal</u> 9(8):1452-1456 (1971)							
	CF	V.M. Gol'dfarb et al., "Properties of a Low-Frequency Discharge in a Transformer-Plasmatron" <u>Teplofizika Vysokikh Temperatur</u> 17(4):698-702 (1979)							
	CG	E. Kandler et al., "Characterization of Plasma in an Inductively Coupled High-Dense Plasma Source" <u>Surface Coatings & Tech.</u> 74 75:539-545 (1995)							
	CH	V.A. Kogan et al., "Investigation of the Prospect for the Design of Transformer-Type Plasmotrons" <u>Teplofizika Vysokikh Temperatur</u> 31(1):105-110 (1993)							
	CI	R.A. Krakowski et al., "Prospects for Using Low-Frequency Induction Plasmas for Bulk-Chemical Processing: A Systems Analysis" First INEL Workshop on Plasma Applications to Waste Treatment, Idaho Fall, Idaho, Jan. 16-17, 1991							
n	CJ	G. Soucy et al., "Parametric Study of the Decomposition of NH ₃ for an Induction Plasma Reactor Design" <u>Plasma Chem. and Plasma Proc.</u> 15(4):693-710 (1995)							
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OTHER ART, JOURNAL ARTICLES, ETC.			
EXAM INT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)		
<i>M</i>	CK	T.B. Reed, "Induction-Coupled Plasma Torch" <u>J. Appl. Phys.</u> 32(5):821-824 (1961)	
<i>1</i>	CL	T.B. Reed, "Growth of Refractory Crystals Using the Induction Plasma Torch" <u>J. Appl. Phys.</u> 32(12):2534-2535 (1961)	
	CM	T.B. Reed, "Heat-Transfer Intensity from Induction Plasma Flames and Oxy-Hydrogen Flames" <u>J. Appl. Phys.</u> 34(8):2266-2269 (1963)	
	CN	T.B. Reed, "High-Power Low-Density Induction Plasmas" <u>Communications</u> 3146-3147 (1963)	
	CO	F. Maier, "Electronic Circuits for the Generation and Transfer of High-Power Pulses in Nuclear Fusion Installations" <u>IEEE Transactions on Plasma Science</u> PS-12(3): 191-198 (1984)	
	CP	International Search Report dated 11/05/98 in corresponding PCT Application No. PCT/US98/13155	
	CQ	Osram Endura 150W Product Information Brochure, November 1996, pp. 1-4.	
	CR	Hiramatsu et al., "Generation of Strongly Ionized Aluminum Plasma in a Low-Temperature Tokamak Discharge," <u>Japanese Journal of Applied Physics</u> , Vol. 31 (July 1992) pp. 2243-2248.	
	CS	Zhang et al., "A High Power Radio Frequency Transformer for Plasma Production in a Toroidal Plasma Source," <u>Rev. Sci. Instrum.</u> , Vol. 69 (January 1998) pp. 101-108.	
	C1	Akulina et al., "Injection and Confinement of Plasma in a Stellarator with a Multipolar (l = 2) Helical Field," <u>Proceedings of Conference of International Atomic Energy Agency</u> (1965) pp.733-749.	
	C2	Anderson, "Electrodeless Fluorescent Lamps Excited by Solenoidal Electric Field," <u>IES Transaction, Illuminating Engineering</u> (April 1969) pp. 236-242.	
	C3	Ashida et al., "Measurements of Pulsed-Power Modulated Argon Plasmas in an Inductively Coupled Plasma Source," <u>J. Vac. Sci. Technol.</u> , (Mar/Apr 1996) pp. 391-397.	
	C4	Asmussen, "Electron Cyclotron Resonance Microwave Discharges for Etching and Thin-Film Deposition," <u>Journal of Vacuum Science & Technology A: Vacuum, Surfaces, and Films</u> , Vol. 7, No. 3 (May 1989) pp. 883-893. Abstract printed from Online Journal Publishing Service.	
	C5	Bacri et al., "Influence of Departures From Complete Thermodynamic Equilibrium on Transport Coefficient Values: Application to an Oxygen Plasma," <u>Plasma Sources Sci. Technol.</u> , (1994) pp. 114-121.	
	C6	Baldwin et al., "MgF ₂ Optical Films: Ion-Beam-Assisted Deposition of Magnesium Fluoride in a Conventional Electron Beam Evaporator and the Resulting Film Properties," <u>Society of Vacuum Coaters: 40th Annual Technical Conference Proceedings</u> (1997) pp. 1-5.	
	C7	Bell, "Ring Discharge Excitation of Gas Ion Lasers," <u>Applied Physics Letters</u> , Vol. 7, No. 7 (October 1965) p. 190.	
<i>U</i> <i>M</i>	C8	Benova et al., "Axial Distributions of Metastable Atoms and Charged Particles in an Ultrahigh Frequency Argon Plasma Column at Moderate Pressures," <u>J. Appl. Phys.</u> , Vol. 79, No. 8 (April 15, 1996) pp. 3848-3852.	
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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
m	C9	Benova et al., "Theoretical Study of the Influence of a Metal Enclosure on the Parameters of a Plasma Column Sustained by a Traveling Electromagnetic Surface Wave," <u>Physica Scripta</u> , Vol. 43 (1991) pg. 68-73.
↑	C10	Bhave et al., "Two- and Three-Body Ion-Electron Recombination Rate Coefficients in Neon*," <u>Aust. J. Phys.</u> , Vol. 48 (1995) pp. 503-513.
↑	C11	Bishop et al., "Power Balance Measurements and Particle Loss Rate in Ohmically Heated Discharges in the C Stellarator," <u>Plasma Physics and Controlled Nuclear Fusion Research: Proceedings of Second Conference of International Atomic Energy Agency</u> , Vol. 2 (1966) pp. 673-685.
↑	C12	Bluem et al., "Spatial Investigation of a Large Diameter Microwave Plasma," <u>J. Phys. D: Appl. Phys.</u> Vol. 28 (1995) pp. 1529-1533.
	C13	Böhle et al., "On the Influence of Excited Atoms on the Electron Kinetics of a Surface Wave Sustained Argon Plasma," <u>Plasma Sources Sci. Technol.</u> Vol. 3 (1994) pp. 80-87.
	C14	Boisse-Laporte et al., "Microwave Discharges Produced by Surface Waves in Argon Gas," <u>Journal of Physics D: Applied Physics</u> , Vol. 20 (February 14, 1987) p. 197.
	C15	Bol, "Density Fluctuations in the Etude Stellarator," <u>The Physics of Fluids</u> , Vol. 7, No. 11 (November 1964) pp. 1855-1856.
	C16	Bollinger et al., "Rapid, Nonmechanical, Damage-Free Figuring of Optical Surfaces Using Plasma-Assisted Chemical Etching (PACE): Part I Experimental Results," <u>SPIE Vol. 966 Advances in Fabrication and Metrology for Optics and Large Optics</u> (1988) pp. 82-90.
	C17	Bollinger et al., "Rapid, Non-Contact Optical Figuring of Aspheric Surfaces With Plasma Assisted Chemical Etching (PACE)," <u>SPIE Vol. 1333 Advanced Optical Manufacturing and Testing</u> (1990) pp. 44-57.
	C18	Bollinger et al., "Rapid Optical Figuring of Aspherical Surfaces With Plasma Assisted Chemical Etching (PACE)," <u>SPIE Vol. 1618 Large Optics II</u> (1991) pp. 14-21.
	C19	Boswell et al., "Etching of Si by SF ₆ in a Radio Frequency Double Cathode," <u>Journal of Vacuum Science & Technology B: Microelectronics and Nanometer Structures</u> , Vol. 5, No. 4 (July 1987) pp. 883-888. Abstract printed from Online Journal Publishing Service.
	C20	Bourdon et al., "Three-Body Recombination Rate of Atomic Nitrogen in Low-Pressure Plasma Flows," <u>Physical Review E</u> , Vol. 54, No. 2 (August 1996) pp. 1888-1898.
	C21	Carruth, Jr., et al., "Method for Determination of Neutral Atomic Oxygen Flux," <u>Rev. Sci. Instrum.</u> , Vol. 61, No. 4 (1990) pp. 1211-1216.
	C22	Chen, "Industrial Applications of Low-Temperature Plasma Physics*," <u>Phys. Plasmas</u> , Vol. 2, No. 6 (June 1995) pp. 2164-2175.
↓	C23	Cherrington, "Chapter 8: DC Discharges-The Positive Column," <u>Gaseous Electronics and Gas Lasers</u> Pergamon Press - New York (1979) pp. 144-160.
n	C24	Chiu et al., "What the DryScrub® System Can Do For PFC Gas Treatment?," <u>Electrochemical Technology Corp. Brochure</u> (undated).
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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
m	C25	Coburn et al., "Ion-and Electron-Assisted Gas-Surface Chemistry - An Important Effect in Plasma Etching," <u>Journal of Applied Physics</u> , Vol. 50, No. 5 (May 1979) pp. 3189-3196. Abstract printed from Online Journal Publishing Service.
1	C26	Cohen et al., "Induced Magnetic Field Effects in Inductively Coupled Plasmas," <u>Physics of Plasma</u> , Vol. 3, No. 5 (May 1996) pp. 1839-1847. Abstract printed from Online Journal Publishing Service.
	C27	Collins et al., "Measurement of the Rate Coefficient for the Recombination of He ⁺ with Electrons [*] ," <u>Physical Review A</u> , Vol. 6, No. 4 (October 1972) pp. 1545-1558.
	C28	Darchicourt et al., "Influence of the Radial Electron Density Profile on the Determination of the Characteristics of Surface-Wave-Produced Discharges," <u>J. Phys. D: Applied Physics</u> , Vol. 21 (1988) pp. 293-301.
	C29	Denneman, "Determination of Electromagnetic Properties of Low-Pressure Electrodeless Inductive Discharges," <u>J. Phys. D: Appl. Phys.</u> (1990) pp. 293-298.
	C30	Eckhardt et al., "Comparison of Alkali Plasma Loss Rates in a Stellarator and in a Toroidal Device With Minimum Mean-B Properties," <u>Plasma Physics and Controlled Nuclear Fusion Research: Proceedings of Second Conference of International Atomic Energy Agency</u> , Vol. 2 (1966) pp. 719-731.
	C31	Evans, "Discussion (of 'Electrodeless Fluorescent Lamps Excited by Solenoidal Electric Field' by Anderson)," <u>IES Transaction, Illuminating Engineering</u> (April 1969) pp. 242-244.
	C32	Feoktistov et al., "Self-Consistent Modeling of Low-Pressure RF Discharges in Oxygen Plasma," <u>J. Phys. D: Appl. Phys.</u> Vol. 26 (1995) pp. 1346-1353.
	C33	Ferreira, "Theory of a Plasma Column Sustained by a Surface Wave," <u>J. Phys. D: Appl. Phys.</u> (1981) pp. 1811-1830.
	C34	Ferreira, "Modeling of a Low-Pressure Plasma Column Sustained by a Surface Wave," <u>J. Phys. D: Appl. Phys.</u> , Vol. 16 (1983) p. 1673-1685.
	C35	Ferreira, "The Similarity Laws for the Maintenance Field and the Absorbed Power per Electron in Low-Pressure Surface Wave Produced Plasmas and their Extension to HF Plasmas in General," <u>Physica Scripta</u> , Vol. 38 (1988) pp. 382-399.
	C36	Ferreira et al., "Quasi-Neutral Theory of Positive Columns in Electronegative Gases," <u>J. Phys. D: Appl. Phys.</u> , Vol. 21 (1988) pp. 1403-1413.
	C37	Ferreira, "Kinetic Modeling of Microwave Discharges," <u>Microwave Discharges: Fundamentals and Applications</u> (1993) pp. 313-337.
	C38	Fiala et al., "Two-Dimensional, Hybrid Model of Low-Pressure Glow Discharges," <u>Physical Review E</u> , Vol. 49, No. 6 (June 1994) pp. 5607-5622.
✓ m	C39	Fulton, "Application of Ion-Assisted-Deposition Using a Gridless End-Hall Ion Source for Volume Manufacturing of Thin-Film Optical Filters," <u>Optical Interference Coatings: Proceedings-SPIE The International Society for Optical Engineering</u> (1994) pp. 374-393.
EXAMINER <i>Pa d m</i>		DATE CONSIDERED <i>7/10/06</i>

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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
M	C40	Fulton et al., "Application of Residual Stress Analysis for Ion-Assist-Deposited (IAD) Thin-Films Manufactured Using a Gridless End-Hall Ion Source," <u>Optical Interference Coatings: Technical Digest Series</u> , Vol. 17 (1995) pp. 101-103.
7	C41	Gallatin et al., "Predicted Polishing Behavior of Plasma Assisted Chemical Etching (PACE) From a Unified Model of the Temporal Evolution of Etched Surfaces," <u>SPIE Advances in Fabrication and Metrology for Optics and Large Optics</u> , Vol. 966 (1988) pp. 98-107.
	C42	Gallatin et al., "Unified Approach to the Temporal Evolution of Surface Profiles in Solid Etch and Deposition Processes," <u>J. Appl. Phys.</u> , Vol. 65, No. 12 (June 1989) pp. 5078-5088.
	C43	Golant et al., "Plasma Compression by a Magnetic Field in a Toroidal-Type Device," <u>Proceedings of Conference of International Atomic Energy Agency</u> (1965) pp.830-850.
	C44	Gousset et al., "Experimental Study of a D.C. Oxygen Glow Discharge by V.U.V. Absorption Spectroscopy," <u>Plasma Chemistry and Plasma Processing</u> Vol. 7, No. 4 (1987) pp. 409-427.
	C45	Gousset et al., "Electron and Heavy-Particle Kinetics in the Low Pressure Oxygen Positive Column," <u>J. Phys. D: Appl. Phys.</u> , Vol. 24 (1991) pp. 290-300.
	C46	Granier et al., "Characterisation of Oxygen Discharges," <u>Journal of Physics D: Applied Physics</u> , Vol. 22 (1989) pp. 1487-1496.
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INFORMATION DISCLOSURE STATEMENT		APPLICANTS: Smith et al.
		SERIAL NO.: Not yet assigned.
		FILING DATE: Herewith
		GROUP: Not yet assigned.
OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
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M. Pasch	7/10/06	

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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
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		FILING DATE: Herewith
		GROUP: Not yet assigned.
OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
<i>m</i>	C105	Zarowin et al., "Quasi-CW, High Numerical Aperture, Inductively Excited Ion Laser*," <u>Applied Physics Letters</u> , Vol. 11, No. 2 (July 15, 1967) pp. 47-48.
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EXAMINER	DATE CONSIDERED	
<i>m p s chun</i>	<i>7/10/06</i>	

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SHEET 1 OF 3

FORM PTO - 1449

SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: ASX-015C4

APPLICANTS: Smith et al.

SERIAL NO.: 10/689,165

FILING DATE: October 20, 2003

GROUP: Not yet assigned.

U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>m</i>	A79	H268	05/05/87	Owen			
<i>n</i>	A80	3,054,742	09/18/62	Thonemann et al.			
<i>1</i>	A81	3,109,801	11/05/63	Thonemann			
	A82	3,278,384	10/11/66	Lenard et al.			
	A83	3,433,705	03/18/69	Cornish			
	A84	4,057,462	11/08/77	Jassby et al.			
	A85	4,073,680	02/14/78	Kelley			
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<i>v</i>	A99	4,861,622	08/29/89	Yamazaki et al.			
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EXAMINER

DATE CONSIDERED

7/10/06

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EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>m</i>	A101	4,877,757	10/31/89	York et al.			
<i>P</i>	A102	4,908,492	03/13/90	Okamoto et al.			
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FORM PTO - 1449				ATTORNEY DOCKET NO.: ASX-015C4					
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				APPLICANTS: Smith et al. SERIAL NO.: 10/689,165 FILING DATE: October 20, 2003 GROUP: Not yet assigned.					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
<i>M</i>	A124	6,007,879	12/28/99	Scholl	X	X			
<i>M</i>	A125	6,164,241	12/26/00	Chen et al.					
<i>M</i>	A126	6,253,704	07/03/01	Savas			9/17/99		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH- LANG (Y/N)
<i>M</i>	B6	61-1024	01/07/86	JP			06/12/84	N	Original and translation provided by Advanced Energy Industries, Inc. during litigation with Assignee
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
<i>M</i>	C122	Complaint for Declaratory Judgment of Non-Infringement, filed in the United States District Court for the District of Colorado, by Advanced Energy Industries, Inc., dated April 3, 2003.							
<i>M</i>	C123	Complaint, filed in the United States District Court for the District of Delaware, by MKS Instruments, Inc. and Applied Science and Technology, Inc., dated May 14, 2003							
<i>M</i>	C124	Answer, filed in the United States District Court for the District of Delaware, by Advanced Energy Industries, Inc., dated December 10, 2003.							
<i>M</i>	C125	Amended Complaint and Jury Demand, filed in the United States District Court for the District of Colorado, by Advanced Energy Industries, Inc., dated December 15, 2003.							
EXAMINER				DATE CONSIDERED					
<i>Pat ch</i>				<i>7/10/06</i>					